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JC20 Rec'd PCT/PTO 15 MAY 2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :

Koji YANAI et al. :

Docket No. 2002-0451A

Serial No. 10/089,514 :

Group Art Unit Not Yet Assigned

Filed March 29, 2002 :

Examiner Not Yet Assigned

TRANSFORMANTS PRODUCING
SECONDARY METABOLITES MODIFIED
WITH FUNCTIONAL GROUPS, AND
NOVEL BIOSYNTHESIS GENES

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents,
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 is enclosed.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
 - b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.
3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,

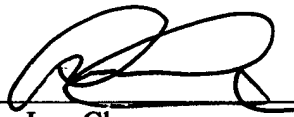
- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
- c. ☐ the concise explanation contained in the specification of the present application at page,
- d. ☒ the concise explanation set forth in the English language abstract on the first page of WO97/00944.
- e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.
6. ☒ Applicants also offer the following comments for the Examiner's consideration:

USP 5,763,221 corresponds to WO 97/00944.

Respectfully submitted,

Koji YANAI et al.

By



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May 15, 2002

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: May 15, 2002

ATTY DOCKET NO.
2002-0451ASERIAL NO.
10/089,514

#7

APPLICANT
Koji YANAI et al.FILING DATE
March 29, 2002

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,763,221	6/9/98	Aoyagi et al.	435	69.1	
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	97/00944	1/9/97	WO			Abstract	
	AK							
	AL							
	AM							
	AN							

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	Michael P. Brown et al., "A role for pabAB, a p-aminobenzoate synthase gene of <i>Streptomyces venezuelae</i> ISP5230, in chloramphenicol biosynthesis", Microbiology 142, pp. 1345-1355 (1996).
	AP	
	AQ	

EXAMINER

DATE CONSIDERED